IAPD Report

MARK EDWARD ISHIBASHI

CRD# 1772041

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

MARK EDWARD ISHIBASHI (CRD# 1772041)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/17/2013
IA	THE WEALTH CONSULTING GROUP	CRD# 173194	08/01/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MARINER ADVISOR NETWORK	283824	San Jose, CA	07/06/2016 - 08/19/2025
IA	LPL FINANCIAL LLC	6413	SAN JOSE, CA	02/14/2019 - 06/28/2019
IA	LPL FINANCIAL LLC	6413	SAN JOSE, CA	12/17/2013 - 04/26/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/17/2013
B	Arizona	Agent	Approved	03/12/2024
B	California	Agent	Approved	12/17/2013
B	Florida	Agent	Approved	08/18/2026
B	Hawaii	Agent	Approved	06/16/2016
B	Louisiana	Agent	Approved	08/18/2026
B	Maryland	Agent	Approved	05/11/2016
B	Nevada	Agent	Approved	08/18/2026
B	New York	Agent	Approved	08/18/2026
B	North Carolina	Agent	Approved	08/19/2026
B	Oregon	Agent	Approved	06/27/2019
B	Texas	Agent	Approved	11/23/2016
B	Vermont	Agent	Approved	08/18/2026

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	02/02/2016
B	Washington	Agent	Approved	11/22/2016
B	Wisconsin	Agent	Approved	03/12/2024

Branch Office Locations

LPL FINANCIAL LLC
1340 LINCOLN AVE
SAN JOSE, CA 95125

Employment 2 of 2

Firm Name:	**THE WEALTH CONSULTING GROUP**
Main Address:	8925 WEST POST ROAD 2ND FLOOR LAS VEGAS, NV 89148
Firm ID#:	173194

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	08/01/2025
IA	Texas	Investment Adviser Representative	Approved	08/01/2025

Branch Office Locations

THE WEALTH CONSULTING GROUP
1340 LINCOLN AVE
SAN JOSE, CA 95125

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/17/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/14/2004

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/06/2016 - 08/19/2025	MARINER ADVISOR NETWORK	CRD# 283824	San Jose, CA
IA	02/14/2019 - 06/28/2019	LPL FINANCIAL LLC	CRD# 6413	SAN JOSE, CA
IA	12/17/2013 - 04/26/2017	LPL FINANCIAL LLC	CRD# 6413	SAN JOSE, CA
IA	11/25/2015 - 07/06/2016	STRATEGIC WEALTH ADVISORS GROUP	CRD# 140977	San Jose, CA
IA	01/15/2004 - 12/20/2013	METLIFE SECURITIES INC.	CRD# 14251	SAN JOSE, CA
B	11/18/2003 - 12/20/2013	METLIFE SECURITIES INC.	CRD# 14251	SAN JOSE, CA
B	11/18/2003 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	SAN JOSE, CA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2025 - Present	THE WEALTH CONSULTING GROUP	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN JOSE, CA, United States
12/2013 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	SAN JOSE, CA, United States
06/2016 - 08/2025	Strategic Wealth Advisors Group, LLC	Investment Adviser Representative	Y	San Jose, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1) 2/21/2019 - Stonebridge Global Investments - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 01/01/2019 - 40 Hours Per Month/40 Hours During Securities Trading.

2) 08/05/2025 - WCG Wealth Advisors, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date: 05/14/2025 - 100 Hours Per Month/80 Hours During Securities Trading. I provide investment

Registration & Employment History

OTHER BUSINESS ACTIVITIES

advisory services through WCG Wealth Advisors, LLC, an independent investment advisor firm. I started this business activity in 8/2025. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

3. 08/12/2025 - Stonebridge Global Investments - Registered Investment Advisor DBA - Investment Related - At Reported Business Location(s) - Start date: 08/01/2025 - 160Hrs/mnth 80 hrs during Trading . I provide investment advisory services through WCG Wealth Advisors, LLC, an independent investment advisor firm. I started this business activity in 8/2025. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	METLIFE SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE DID NOT HAVE AUTHORIZATION TO SELL A PORTION OF APPLE STOCK IN OR ABOUT AUGUST 2013.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/14/2014
Complaint Pending?	No
Status:	Denied
Status Date:	06/20/2014

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE SECURITIES

Allegations: CUSTOMER ALLEGED THE REPRESENTATIVE DID NOT HAVE AUTHORIZATION TO SELL A PORTION OF APPLE STOCK IN OR ABOUT AUGUST 2013.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/14/2014

Complaint Pending? No

Status: Denied

Status Date: 06/20/2014

Settlement Amount:

Individual Contribution Amount:

Broker Statement The client's allegations were not valid since she signed and opened a discretionary trading account on 7-17-13. The client previously did a financial plan which recommended to diversify her Apple Stock. We met with her several times after opening the account and discussed her retirement and the need for diversification since Apple stock represented the largest portion of her retirement savings. Mary Reber (the co-advisor on the account) met with our client on 9-5-13 and discussed diversifying her concentrated Apple stock position and the potential taxes she would incur. The client agreed to sell ½ of her Apple stock in her Trust account and felt that diversification made sense. She said she wanted a sell price of $500. On 9-9-13 we sold the Apple stock at $506 and talked to her about the sell price. She was well aware of the tax consequences since we discussed this previously and she has sold Apple stock in the past. She would have received confirmations statements a few days after the trade. She would also see the sale of her Apple stock in her September statement. I feel it was strange she would wait 8 months after the trade to bring this up due to a change of heart. I was authorized to sell her stock due to her account being discretionary trading account and we also sold the stock at a higher price than she requested. My previous broker dealer (MetLife) denied her claim.

End of Report

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